

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): T. W. Frank et al.

Serial No.: 09/776,994

Filed: February 5, 2001

Group Art Unit: 2155

Examiner: TBA

METHOD AND SYSTEM FOR COMPLIANCE MANAGEMENT

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Technology Center 2100

**CERTIFICATE OF MAILING (37 C.F.R. §1.8(a))**

COMMISSIONER OF PATENTS  
Washington, D.C. 20231

Sir:

I hereby certify that the attached:

1. Information Disclosure Statement ;
2. PTO-Form 1449 w/ copies of all cited references ; and
3. Return receipt postcard.

along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner for Patents, Washington, D.C., 20231.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: August 1, 2002

By: *Erica D. Mitchell*  
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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, DC 20231

Sir:

Pursuant to Rule 56, applicant hereby calls the attention of the Patent Office to the references listed on the attached Form PTO 1449. Copy(ies) of these references ☒ are attached ☐ were filed in related application U.S. Serial No(s) \_\_\_\_\_, filed \_\_\_\_\_, respectively.

- ☐ This document is being filed within three (3) months of the filing date of the application
- ☐ A check for the requisite fee of \$180 is enclosed.
- ☐ This document is being concurrently filed with the above-identified application
- ☐ This document is being concurrently filed with an Request for Continued Examination (RCE)
- ☐ This document is being filed prior to a first Office Action
- ☒ This document is accompanied by a Search Report/Communication cited in a corresponding PCT or foreign counterpart application.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500, Order No. 3956-4004. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: August 1, 2002

By: \_\_\_\_\_

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Examiner Initial		Patent Number	Publication Date	Country	Class	Sub-Class	Translation
		WO 98/11477	19 March 1998	WO			<input type="checkbox"/> Yes <input type="checkbox"/> No
		JP 2001250023A	14 September 2001	JP			<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No

L. A. Balboni, *Realization Of A Vision – A Software System For Materials Management And Compliance*, IEEE, 1993 pp. 98-100.

W. Emmerich, et al. *Managing Standards Compliance* IEEE TRANSACTIONS ON SOFTWARE ENGINEERING, 1999, Vol. 25, No. 6, pp. 836-851.

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